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MINNEAPOLIS, MINNESOTA 55402-3813  
TELEPHONE 612 339-7461  
FACSIMILE 612 349-6556

DT07 Rec'd 0 1 NOV 2004

P et  
#17

October 29, 2004

Our Docket No. 20020065.ORI

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re App : James Oliver Dolly et al :  
S.N. : 10/049,967 : Art Unit unknown  
Filed : February 18, 2002  
For : ISOFORMS OF SNARE MOLECULES AND THE  
USES THEREOF IN MODULATION OF  
CELLULAR EXOCYTOSIS

TRANSMITTAL LETTER

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Transmitted herewith is a Response, a substitute computer readable form (CRF), and a paper copy of the substitute Sequence Listing, in reply to the Notification of Defective Response bearing a date mailed of September 30, 2004 (copy attached), together with a copy of the marked-up Sequence Listing.

The Commissioner is authorized to charge any fees listed in 37 CFR 1.16 and 1.17 which may be required by this paper to Deposit Account No. 08-1265.

Respectfully submitted,  
NIKOLAI & MERSEREAU, P.A.

*C. G. Mersereau*

C. G. Mersereau  
Registration No. 26205  
Attorneys for Applicant(s)  
820 International Centre  
900 Second Avenue South  
Minneapolis, MN 55402  
(612) 339-7461



#17

PATENT APPLICATION

Our File No.: 20020065.ORI

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re App : James Oliver Dolly et al : October 29, 2004  
S.N. : 10/049,967 : Art Unit unknown  
Filed : February 18, 2002  
For : ISOFORMS OF SNARE MOLECULES AND THE  
USES THEREOF IN MODULATION OF  
CELLULAR EXOCYTOSIS

-----  
RESPONSE

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This paper is submitted in response to a Notification of Defective Response dated September 30, 2004 which carried a shortened-statutory period for response of one month so that a reply is due by October 30, 2004.

Accordingly, applicants submit herewith a copy of that Notice, together with attachments, with this response.

A substitute computer readable form (CRF) copy of a substitute Sequence Listing, together with a paper copy of the substitute Sequence Listing, is also being submitted with this paper.

Applicants believe that the substitute Raw Sequence Listing being submitted includes no new matter. The computer readable form (CRF) submitted herewith is identical to the paper copy submitted.

It is believed that the Raw Sequence Listing now complies with all requirements and the Response to Notification of Missing Requirements is now complete.

Entry of the substitute Raw Sequence Listing is respectfully requested.

Respectfully submitted,

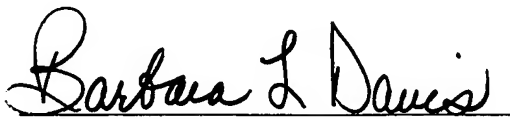
NIKOLAI & MERSEREAU, P.A.



C. G. Mersereau, #26,205  
Attorney for Applicants  
Registration No. 26,205  
900 Second Avenue South  
Suite 820, International Centre  
Minneapolis, MN 55402  
Telephone: 612-339-7461

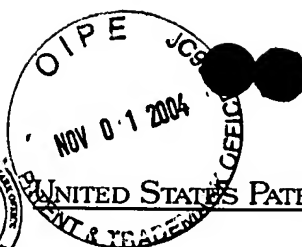
#### CERTIFICATE OF MAILING

I hereby certify that the foregoing Response, a copy of the Notification of Defective Response, a computer readable form (CRF), a paper copy of the substitute Raw Sequence Listing, and a Transmittal Letter in connection with application Serial No. 10/049,967 of inventors, James O. Dolly et al, filed February 18, 2002, for "ISOFORMS OF SNARE MOLECULES AND THE USES THEREOF IN MODULATION OF CELLULAR EXOCYTOSIS" is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Commissioner of Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on October 29, 2004.



Barbara L. Davis  
Secretary to C. G. Mersereau

Date of Signature: October 29, 2004



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

U.S. APPLICATION NUMBER NO. 10/049,967	FIRST NAMED APPLICANT James Oliver Dolly	ATTY. DOCKET NO. 20020065.ORI
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INTERNATIONAL APPLICATION NO. PCT/GB00/03196	
I.A. FILING DATE 08/18/2000	PRIORITY DATE

C G Mersereau  
Nikolai & Mersereau  
900 Second Avenue South  
Suite 820 International Centre  
Minneapolis, MN 55402

REC'D OCT 04 2004

CONFIRMATION NO. 6222  
371 FORMALITIES LETTER

\*OC000000013933985\*

Date Mailed: 09/30/2004

### NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- Copy of the International Application filed on 02/18/2002
- Copy of the International Search Report filed on 02/18/2002
- Copy of IPE Report filed on 02/18/2002
- Preliminary Amendments filed on 02/18/2002
- Information Disclosure Statements filed on 05/21/2002
- Biochemical Sequence Diskette filed on 08/20/2004
- Oath or Declaration filed on 02/23/2004
- Biochemical Sequence Listing filed on 08/20/2004
- Copy of references cited in ISR filed on 02/18/2002
- U.S. Basic National Fees filed on 02/18/2002

*Response:  
Oct. 30, 2004  
B50  
10/6/04*

Applicant's response filed 08/20/2004 is hereby acknowledged. The following requirements set forth in the NOTIFICATION of MISSING REQUIREMENTS mailed 04/25/2002 have not been completed.

The following items **MUST** be furnished within the period set forth below:

- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):
  - A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of Annex C of the Administrative Instructions and 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
  - The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
  - APPLICANT MUST PROVIDE:
    - An initial or substitute computer readable form (CRF) of the "Sequence Listing."
    - An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an

amendment directing its entry into the specification.

- A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).
- For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:
  - For Rules Interpretation, call (703) 308-4216
  - To Purchase PatentIn Software, call (703) 306-2600
  - For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

**Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended under 37 CFR 1.136(a).**

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

VONDA M WALLACE

Telephone: (703) 305-3736

**PART 1 - ATTORNEY/APPLICANT COPY**

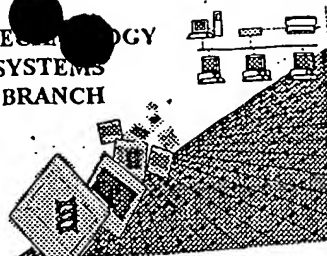
U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/049,967	PCT/GB00/03196	20020065.ORI

FORM PCT/DO/EO/916 (371 Formalities Notice)

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PUT 110

BIOTECHNOLOGY  
SYSTEMS  
BRANCH



## CRF Problem Report

The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) experienced a problem when processing the following computer readable form (CRF):

Application Serial Number: 10/049,967B  
Filing Date: 2/18/02  
Date Processed by STIC: 9/10/04

STIC Contact: Mark Spencer: Telephone: 571-272-2510; Fax: 571-273-0221

### Nature of Problem:

The CRF (was):

- ☐ (circle one) Damaged or Unreadable (for Unreadable, see attached)  
☐ Blank (no files on CRF) (see attached)  
☐ Empty file (filename present, but no bytes in file) (see attached)  
☐ Virus-infected. Virus name: \_\_\_\_\_ The STIC will not process the CRF.  
☒ Not saved in ASCII text (see attached)  
☐ Sequence Listing was embedded in the file. According to Sequence Rules, submitted file should only be the Sequence Listing.  
☐ Did not contain a Sequence Listing. (see attached sample)  
☐ Other: \_\_\_\_\_

**PLEASE USE THE CHECKER VERSION 4.2 PROGRAM TO REDUCE ERRORS.  
SEE BELOW FOR ADDRESS:**

<http://www.uspto.gov/web/offices/pac/checker/chkrnote.htm>

Applicants submitting genetic sequence information electronically on diskette or CD-Rom should be aware that there is a possibility that the disk/CD-Rom may have been affected by treatment given to all incoming mail.

Please consider using alternate methods of submission for the disk/CD-Rom or replacement disk/CD-Rom.

Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be sent via the following to the indicated addresses:

1. EFS-Bio (<http://www.uspto.gov/ebs/efs/downloads/documents.htm>) , EFS Submission User Manual - ePAVE)
2. U.S. Postal Service: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450
3. Hand Carry, Federal Express, United Parcel Service, or other delivery service (EFFECTIVE 06/05/04):  
U.S. Patent and Trademark Office, 220 20<sup>th</sup> Street S., Customer Window, Mail Stop Sequence, Crystal Plaza Two, Lobby, Room 1B03, Arlington, VA 22202

Revised 05/19/04

**BEST AVAILABLE COPY**

The submitted file was saved  
in ".pdf" (Acrobat) format, which is  
invalid per Sequence Rules. 1.824 of Sequence  
listing states that sequence listing  
file be saved in ASCII  
text format.

10/049,967 B 2

Do NOT show line numbers. This is a scanned  
version of most  
of previous  
submissions.  
delete alphabetical headings

Delete

3 <110> ~~APPLICANT: Imperial College Innovations Limited~~  
5 <120> ~~TITLE OF INVENTION: Methods of treatment~~ This title  
7 <130> ~~FILE REFERENCE: ICOY/P23294PC~~ does not  
2--> 9 <140> ~~CURRENT APPLICATION NUMBER: US/10/049,967~~ match  
2--> 10 <141> ~~CURRENT FILING DATE: 2002-02-18~~  
12 <160> ~~NUMBER OF SEQ ID NOS: 32~~ 28 shown invention title  
14 <170> ~~SOFTWARE: PatentIn Ver. 2.0~~ in submitted in application  
16 <210> ~~SEQ ID NO: 1~~ file (p.6) (see bottom of  
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63 <213> ~~ORGANISM: Artificial Sequence~~

Please  
consult  
Sequence  
Rules  
for valid  
format.

Another invention title given in application: "Isoforms of Snare  
Molecules and the  
Uses thereof in Modulation  
of Cellular Exocytosis"

BEST AVAILABLE COPY

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10/01/96 7B 4

no page nos allowed

primer?

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delete

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 235 1 5 5 10 10 ← misaligned amino acid numbers. Do NOT  
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delete  
line  
nos.

Please give source of genetic  
material, when  
explaining Artificial  
sequence

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delete  
in nos. →

last sequence is submitted file